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## Distance-regular graphs with $a_1$ or $c_2$ at least half the valency

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### ABSTRACT

In this paper, we study the distance-regular graphs  $\Gamma$  that have a pair of distinct vertices, say  $x$  and  $y$ , such that the number of common neighbors of  $x$  and  $y$  is about half the valency of  $\Gamma$ . We show that if the diameter is at least three, then such a graph, besides a finite number of exceptions, is a Taylor graph, bipartite with diameter three or a line graph.

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## 1. Introduction

In this paper, we study the distance-regular graphs  $\Gamma$  that have a pair of distinct vertices, say  $x$  and  $y$ , such that the number of common neighbors of  $x$  and  $y$  is about half the valency of  $\Gamma$ .

To be more precise, let  $\Gamma$  be a distance-regular graph with valency  $k$  and diameter  $D$ . If  $x$  and  $y$  are adjacent vertices (respectively vertices at distance two), then  $a_1 := a_1(x, y)$  (respectively  $c_2 := c_2(x, y)$ ) denotes the number of common neighbors of  $x$  and  $y$ . It is known that  $a_1(x, y)$  (respectively  $c_2(x, y)$ ) does not depend on the specific pair of vertices  $x$  and  $y$  at distance one (respectively two).

Brouwer and Koolen [8] showed that if  $c_2 > \frac{1}{2}k$ , then  $D \leq 3$ , and  $D = 3$  implies that  $\Gamma$  is either bipartite or a Taylor graph. In Proposition 5, we slightly extend this result.

In Theorem 16, we classify the distance-regular graphs with  $a_1 \geq \frac{1}{2}k - 1$  and diameter at least three. Besides the distance-regular line graphs (classified by Mohar and Shawe-Taylor [14], cf. [6, Theorem 4.2.16]) and the Taylor graphs, one only finds the Johnson graph  $J(7, 3)$  and the halved 7-cube. This is in some sense a generalization of the classification of the claw-free distance-regular graphs of Blokhuis and Brouwer [4], as the claw-freeness condition implies  $a_1 \geq \frac{1}{2}k - 1$ . But they

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also classified the claw-free connected non-complete strongly regular graphs (i.e., distance-regular graphs with diameter two). The classification of strongly regular graphs with  $a_1 \geq \frac{1}{2}k - 1$  seems to be hopeless, as there are infinitely many strongly regular graphs that satisfy  $a_1 \geq \frac{1}{2}k - 1$ , but are not line graphs, for example, all the Paley graphs. A similar situation holds for the Taylor graphs. Note that the distance two graph of a non-bipartite Taylor graph is also a Taylor graph, and hence at least one of them has  $a_1 \geq \frac{1}{2}(k - 1)$  and the other one has  $c_2 \geq \frac{1}{2}(k - 1)$ . If  $a_1 = \frac{1}{2}(k - 1)$ , then it is locally a conference graph, and for any conference graph  $\Delta$ , we have a Taylor graph which is locally  $\Delta$  (see, for example, [6, Theorem 1.5.3]). Also there are infinitely many Taylor graphs with  $a_1 \geq \frac{1}{2}k$ , and hence there are infinitely many Taylor graphs with  $c_2 \geq \frac{1}{2}k$  (see, for example, [6, Theorem 1.5.3] and [10, Lemma 10.12.1]).

In the last section of this paper, we will discuss the distance-regular graphs with  $k_2 < 2k$ , where  $k_2$  is the number of vertices at distance two from a fixed vertex. In particular, in Theorem 17, we show that for fixed  $\varepsilon > 0$ , there are only finitely many distance-regular graphs with diameter at least three and  $k_2 \leq (2 - \varepsilon)k$ , besides the polygons and the Taylor graphs. In Theorem 20, we classify the distance-regular graphs with  $k_2 \leq \frac{3}{2}k$ .

## 2. Definitions and preliminaries

All the graphs considered in this paper are finite, undirected and simple (for unexplained terminology and more details, see [6]). Suppose that  $\Gamma$  is a connected graph with vertex set  $V(\Gamma)$  and edge set  $E(\Gamma)$ , where  $E(\Gamma)$  consists of unordered pairs of two adjacent vertices. The distance  $d(x, y)$  between any two vertices  $x$  and  $y$  of  $\Gamma$  is the length of a shortest path connecting  $x$  and  $y$  in  $\Gamma$ . We denote  $v$  as the number of vertices of  $\Gamma$  and define the diameter  $D$  of  $\Gamma$  as the maximum distance in  $\Gamma$ . For a vertex  $x \in V(\Gamma)$ , define  $\Gamma_i(x)$  to be the set of vertices which are at distance precisely  $i$  from  $x$  ( $0 \leq i \leq D$ ). In addition, define  $\Gamma_{-1}(x) = \Gamma_{D+1}(x) := \emptyset$ . We write  $\Gamma(x)$  instead of  $\Gamma_1(x)$  and define the local graph  $\Delta(x)$  at a vertex  $x \in V(\Gamma)$  as the subgraph induced on  $\Gamma(x)$ . Let  $\Delta$  be a graph. If the local graph  $\Delta(x)$  is isomorphic to  $\Delta$  for any vertex  $x$  in  $V(\Gamma)$ , then we say  $\Gamma$  is locally  $\Delta$ .

A connected graph  $\Gamma$  with diameter  $D$  is called distance-regular if there are integers  $b_i, c_i$  ( $0 \leq i \leq D$ ) such that for any two vertices  $x, y \in V(\Gamma)$  with  $d(x, y) = i$ , there are precisely  $c_i$  neighbors of  $y$  in  $\Gamma_{i-1}(x)$  and  $b_i$  neighbors of  $y$  in  $\Gamma_{i+1}(x)$ , where we define  $b_D = c_0 = 0$ . In particular, any distance-regular graph is regular with valency  $k := b_0$ . Note that a (non-complete) connected strongly regular graph is just a distance-regular graph with diameter two. We define  $a_i := k - b_i - c_i$  for notational convenience. Note that  $a_i = |\Gamma(y) \cap \Gamma_i(x)|$  holds for any two vertices  $x, y$  with  $d(x, y) = i$  ( $0 \leq i \leq D$ ).

For a distance-regular graph  $\Gamma$  and a vertex  $x \in V(\Gamma)$ , we denote  $k_i := |\Gamma_i(x)|$  and  $p_{jh}^i := |\{w \in \Gamma_j(x) \cap \Gamma_h(y)\}|$  for any  $y \in \Gamma_i(x)$ . It is easy to see that  $k_i = b_0 b_1 \cdots b_{i-1} / c_1 c_2 \cdots c_i$  and hence it does not depend on  $x$ . The numbers  $a_i, b_{i-1}$  and  $c_i$  ( $1 \leq i \leq D$ ) are called the intersection numbers, and the array  $\{b_0, b_1, \dots, b_{D-1}; c_1, c_2, \dots, c_D\}$  is called the intersection array of  $\Gamma$ . A distance-regular graph with intersection array  $\{k, \mu, 1; 1, \mu, k\}$  is called a Taylor graph.

Suppose that  $\Gamma$  is a distance-regular graph with valency  $k \geq 2$  and diameter  $D \geq 2$ , and let  $A_i$  be the matrix of  $\Gamma$  such that the rows and the columns of  $A_i$  are indexed by the vertices of  $\Gamma$  and the  $(x, y)$ -entry is 1 whenever  $x$  and  $y$  are at distance  $i$  and 0 otherwise. We will denote the adjacency matrix of  $\Gamma$  as  $A$  instead of  $A_1$ . The eigenvalues of the graph  $\Gamma$  are the eigenvalues of  $A$ .

The Bose–Mesner algebra  $M$  for a distance-regular graph  $\Gamma$  is the matrix algebra generated by the adjacency matrix  $A$  of  $\Gamma$ . A basis of  $M$  is  $\{A_i \mid i = 0, \dots, D\}$ , where  $A_0 = I$ . The algebra  $M$  has also a basis consisting of primitive idempotents  $\{E_0 = \frac{1}{v}J, E_1, \dots, E_D\}$ , and  $E_i$  is the orthogonal projection onto the eigenspace of eigenvalue  $\theta_i$ . Note that  $M$  is closed under the componentwise multiplication  $\circ$ . The Krein parameters  $q_{ij}^k$  ( $0 \leq i, j, k \leq D$ ) of  $\Gamma$  are defined as

$$E_i \circ E_j = \frac{1}{v} \sum_{k=0}^D q_{ij}^k E_k.$$

By Delsarte's theorem (cf. [6, Theorem 2.3.2]), the Krein parameters are all non-negative.

Some standard properties of the intersection numbers are collected in the following lemma.

**Lemma 1.** (See [6, Proposition 4.1.6].) Let  $\Gamma$  be a distance-regular graph with valency  $k$  and diameter  $D$ . Then the following holds:

- (1)  $k = b_0 > b_1 \geq \dots \geq b_{D-1}$ ;
- (2)  $1 = c_1 \leq c_2 \leq \dots \leq c_D$ ;
- (3)  $b_i \geq c_j$  if  $i + j \leq D$ .

Suppose that  $\Gamma$  is a distance-regular graph with valency  $k \geq 2$  and diameter  $D \geq 1$ . Then  $\Gamma$  has exactly  $D + 1$  distinct eigenvalues, namely  $k = \theta_0 > \theta_1 > \dots > \theta_D$  [6, p. 128], and the multiplicity of  $\theta_i$  ( $0 \leq i \leq D$ ) is denote by  $m_i$ . For an eigenvalue  $\theta$  of  $\Gamma$ , the sequence  $(u_i)_{i=0,1,\dots,D} = (u_i(\theta))_{i=0,1,\dots,D}$  satisfying  $u_0 = u_0(\theta) = 1$ ,  $u_1 = u_1(\theta) = \theta/k$ , and

$$c_i u_{i-1} + a_i u_i + b_i u_{i+1} = \theta u_i \quad (i = 1, 2, \dots, D-1) \quad \text{and} \quad c_D u_{D-1} + a_D u_D = \theta u_D$$

is called the *standard sequence* corresponding to the eigenvalue  $\theta$  [6, p. 128]. A sign change of  $(u_i)_{i=0,1,\dots,D}$  is a pair  $(i, j)$  with  $0 \leq i < j \leq D$  such that  $u_i u_j < 0$  and  $u_t = 0$  for  $i < t < j$ .

In this paper we say that an intersection array is *feasible* if it satisfies the following four conditions:

- (1) all its intersection numbers are integral;
- (2) all the multiplicities are positive integers;
- (3) for any  $0 \leq i \leq D$ ,  $k_i a_i$  is even;
- (4) all Krein parameters are non-negative.

Recall that a *clique* of a graph is a set of mutually adjacent vertices and that a *co-clique* of a graph is a set of vertices with no edges. A clique  $C$  of a distance-regular graph with valency  $k$ , diameter  $D \geq 2$  and smallest eigenvalue  $\theta_D$ , is called *Delsarte clique* if  $C$  contains exactly  $1 - k/\theta_D$  vertices. The *strong product*  $G \boxtimes H$  of graphs  $G$  and  $H$  is a graph such that the vertex set of  $G \boxtimes H$  is the Cartesian product  $V(G) \times V(H)$  and any two different vertices  $(u, v)$  and  $(u', v')$  are adjacent in  $G \boxtimes H$  if and only if  $(u = u' \text{ or } u \text{ is adjacent to } u')$  and  $(v = v' \text{ or } v \text{ is adjacent to } v')$ . For a given positive integer  $s$ , the *s-clique extension* of a graph  $G$  is the strong product  $G \boxtimes K_s$  of  $G$  and  $K_s$ , where  $K_s$  is the complete graph (or clique) of size  $s$ .

A graph  $\Gamma$  is called *graph of order*  $(s, t)$  if  $\Gamma$  is locally disjoint union of  $t + 1$  copies of  $K_s$ . Note that, if  $\Gamma$  is a distance-regular graph with  $c_2 = 1$  and valency  $k$ , then  $\Gamma$  is a graph of order  $(s, t)$  for some  $s (= a_1 + 1)$  and  $t$ , and hence the valency  $k$  is equal to  $s(t + 1)$ . A *Terwilliger graph* is a connected non-complete graph  $\Gamma$  such that, for any two vertices  $u, v$  at distance two, the subgraph induced on  $\Gamma(u) \cap \Gamma(v)$  in  $\Gamma$  is a clique of size  $\mu$  (for some fixed  $\mu \geq 1$ ). A graph  $\Gamma$  is called *bipartite* if it has no odd cycle. (If  $\Gamma$  is a distance-regular graph with diameter  $D$  and bipartite, then  $a_1 = a_2 = \dots = a_D = 0$ .)

An *antipodal* graph is a connected graph  $\Gamma$  with diameter  $D > 1$  for which being at distance 0 or  $D$  is an equivalence relation between vertices. If, moreover, all equivalence classes have the same size  $r$ , then  $\Gamma$  is also called an *antipodal  $r$ -cover*.

Recall the following interlacing result.

**Theorem 2.** (Cf. [11].) Let  $m \leq n$  be two positive integers. Let  $A$  be an  $n \times n$  matrix, that is similar to a (real) symmetric matrix, and let  $B$  be a principal  $m \times m$  submatrix of  $A$ . Then, for  $i = 1, \dots, m$ ,

$$\theta_{n-m+i}(A) \leq \theta_i(B) \leq \theta_i(A)$$

holds, where  $A$  has eigenvalues  $\theta_1(A) \geq \theta_2(A) \geq \dots \geq \theta_n(A)$  and  $B$  has eigenvalues  $\theta_1(B) \geq \theta_2(B) \geq \dots \geq \theta_m(B)$ .

For the convenience of the reader, we give a proof of the following lemma.

**Lemma 3.** (See [8, Lemma 3.1].) Let  $\Gamma$  be a distance-regular graph with diameter  $D$  and valency  $k$ . If  $D \geq 3$ , then  $b_1 \geq \frac{1}{3}k + \frac{1}{3}$ .

**Proof.** If  $b_1 < \frac{1}{3}k + \frac{1}{3}$ , then  $a_1 + 1 > \frac{2}{3}k - \frac{1}{3}$ . Let  $x$  be a vertex of  $\Gamma$ . As  $\Delta(x)$  is not a complete graph,  $\Delta(x)$  has non-adjacent vertices. So,  $2(a_1 + 1) - (c_2 - 1) \leq k$ , and hence  $c_2 \geq 2(a_1 + 1) - k + 1 > \frac{1}{3}k + \frac{1}{3} > b_1$ . Lemma 1(3) implies that  $D \leq 2$  and this is a contradiction.  $\square$

In [6, Proposition 5.5.1(ii)], there is an error in the statement when equality occurs. Although this is fixed in [5], for the convenience of the reader, we give a proof for this.

**Proposition 4.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$ , valency  $k$  and intersection number  $a_1 > 0$ . Then  $a_i + a_{i+1} \geq a_1$  for  $i = 1, \dots, D - 1$ . If  $a_i + a_{i+1} = a_1$ , then  $i = D - 1$ ,  $a_D = 0$ ,  $a_{D-1} = a_1$  and  $b_{D-1} = 1$ .

**Proof.** Let  $i \in \{1, \dots, D - 1\}$  and let  $x, y$  be a pair of vertices of  $\Gamma$  at distance  $i + 1$ . Then  $|\Gamma_1(x) \cap \Gamma_2(y)| = p_{i,2}^{i+1} = c_{i+1}(a_i + a_{i+1} - a_1)/c_2 \geq 0$  which gives  $a_i + a_{i+1} \geq a_1$ . If  $a_i + a_{i+1} = a_1$ , then we have  $i = D - 1$  by [6, Proposition 5.5.1(i)], and hence  $p_{D-1,2}^D = 0$ . This implies that each vertex of  $\Gamma(y) \cap \Gamma_{D-1}(x)$  is adjacent to each vertex of  $\Gamma(y) \cap \Gamma_D(x)$ . We will show that  $a_D = 0$  by way of contradiction. Assume  $a_D > 0$ . This implies that the complement of the local graph at  $y$ , say  $\overline{\Delta(y)}$ , is disconnected. Let  $C$  be a connected component of  $\overline{\Delta(y)}$ . If  $C$  is a singleton, then  $a_1 = k - 1$ , and hence  $\Gamma$  is complete. So we have  $|C| \geq 2$ . Let  $z$  and  $w$  be two adjacent vertices in  $C$ . Then they have at most  $c_2 - 1$  common neighbors in  $\Delta(y)$ , as  $z$  and  $w$  are not adjacent in  $\Gamma$ . This means that  $C$  has size at least  $k - c_2 + 1$ . This means,  $k = |\overline{\Delta(y)}| \geq 2(k - c_2 + 1)$ , and hence  $c_2 \geq \frac{1}{2}k + 1$ . On the other hand,  $\overline{\Delta(y)}$  is  $(k - a_1 - 1)$ -regular, and hence  $C$  has size at least  $k - a_1$  and we obtain  $k = |\overline{\Delta(y)}| \geq 2(k - a_1)$ . This means that  $a_1 \geq \frac{1}{2}k$ , and hence  $b_1 \leq \frac{1}{2}k - 1 < c_2$ . This contradicts  $D \geq 3$ . Therefore  $a_D = 0$ . Now we show that  $b_{D-1} = 1$ . Let  $z$  be a vertex of  $\Gamma_{D-1}(x)$ . If  $b_{D-1} > 1$ , then for any two vertices  $u$  and  $v$  of  $\Gamma(z) \cap \Gamma_D(x)$ , we have  $a_2 = |\Gamma(u) \cap \Gamma_2(v)| = 0$  as  $a_D = 0$  and  $p_{D-1,2}^D = 0$ . But, by [6, Proposition 5.5.6], we have  $a_2 \geq \min\{b_2, c_2\} \geq 1$ , as  $a_1 > 0$  and  $D \geq 3$ . This is a contradiction. So,  $b_{D-1} = 1$ .  $\square$

### 3. Distance-regular graphs with large $a_1$

In this section we classify the distance-regular graphs with  $a_1 \geq \frac{1}{2}k - 1$  and diameter  $D \geq 3$ . First we show that if  $c_2$  or  $b_2$  is large, then  $D = 3$  and imprimitive, where imprimitive means that the graphs are either bipartite or antipodal. This generalizes [8, Lemma 3.14].

**Proposition 5.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and valency  $k$ . If  $c_2 > \frac{1}{2}k$  or  $b_2 > \frac{1}{2}k_3$ , then  $D = 3$  and  $\Gamma$  is either bipartite or a Taylor graph.

**Proof.** Assume  $c_2 > \frac{1}{2}k$  or  $b_2 > \frac{1}{2}k_3$ . Then  $d(y, w) \leq 2$  for a fixed vertex  $x$  and  $y, w \in \Gamma_2(x)$ . Then  $p_{23}^2 = 0$  which in turn implies  $c_3(a_2 + a_3 - a_1)/c_2 = p_{22}^3 = 0$  and hence  $a_1 = a_2 + a_3$ . If  $a_1 \neq 0$ , then, by Proposition 4,  $D = 3$  and  $\Gamma$  is a Taylor graph. So, we may assume  $a_1 = 0$ . Then  $a_2 = a_3 = 0$ . Furthermore, if  $b_2 > \frac{1}{2}k_3$  and  $c_2 \leq \frac{1}{2}k$ , then  $k_3 = kb_1b_2/c_2c_3 > k(k-1)(k_3/2)/(k/2)c_3 = (k-1)k_3/c_3$ . So,  $c_3 > k - 1$  and hence  $D = 3$  and  $\Gamma$  is bipartite. This shows that we may assume  $c_2 > \frac{1}{2}k$  but this again implies  $D = 3$  (and  $\Gamma$  is bipartite) by Lemma 1(3) as  $c_2 > b_2$ .  $\square$

Now we show that the distance-regular Terwilliger graphs with large  $a_1$  and  $c_2 \geq 2$  are known.

### Proposition 6.

- (1) Let  $\Gamma$  be a connected non-complete strongly regular graph with valency  $k$ . If  $c_2 = 1$  and  $k < 7(a_1 + 1)$ , then  $\Gamma$  is either the pentagon or the Petersen graph.
- (2) Let  $\Gamma$  be a connected non-complete strongly regular Terwilliger graph with  $v$  vertices and valency  $k$ . If  $v \leq 7k$  then  $\Gamma$  is either the pentagon or the Petersen graph.

- (3) Let  $\Gamma$  be a distance-regular Terwilliger graph with  $v$  vertices, valency  $k$  and diameter  $D$ . If  $k \leq (6 + \frac{8}{57})(a_1 + 1)$  and  $c_2 \geq 2$ , then  $\Gamma$  is the icosahedron, the Doro graph (see [6, Section 12.1]) or the Conway-Smith graph (see [6, Section 13.2]).

**Proof.** (1): Since  $c_2 = 1$ , then  $a_1 + 1$  divides  $k$ , and we obtain  $(t + 1)(a_1 + 1) = k < 7(a_1 + 1)$  with  $t \in \{1, 2, 3, 4, 5\}$ . Now we will show that  $a_1 < t$ . Let  $\mathbf{C}$  be the set of all  $(a_1 + 2)$ -cliques in the graph  $\Gamma$ . By counting the number of pairs  $(x, C)$ , where  $x$  is a vertex of the graph  $\Gamma$  and  $C$  is a clique of  $\mathbf{C}$  containing  $x$ , in two ways, we have  $|V(\Gamma)|(t + 1) = (a_1 + 2)|\mathbf{C}|$ .

Suppose that  $a_1 \geq t$ , then  $|\mathbf{C}| < |V(\Gamma)|$ . Let  $M$  be the vertex- $(a_1 + 2)$ -clique incidence matrix of  $\Gamma$ , i.e.,  $M$  is the 01-matrix whose rows and columns are indexed by the vertices and  $(a_1 + 2)$ -cliques of  $\Gamma$ , respectively, and the  $(x, C)$ -entry of  $M$  is 1 whenever the vertex  $x$  is in the clique  $C$  and 0 otherwise. Then  $MM^T$  is a singular matrix, as  $|\mathbf{C}| < |V(\Gamma)|$ , and hence  $-t - 1$  is an eigenvalue of  $\Gamma$ , as  $MM^T = A + (t + 1)I$ , where  $A$  is the adjacency matrix of  $\Gamma$ . As  $-t - 1$  is an eigenvalue of  $\Gamma$ , by [6, Proposition 4.4.6], any clique  $C$  of the set  $\mathbf{C}$  is a Delsarte clique, and hence for all  $x \in V(\Gamma)$  and all  $C \in \mathbf{C}$ , there exist  $y \in C$  such that  $d(x, y) \leq 1$  by [1, Lemma 3]. By considering two vertices  $u$  and  $v$  at distance two and  $t + 1$  cliques containing  $u$ , it follows that  $u$  and  $v$  have at least  $t + 1$  common neighbors, which is a contradiction.

So,  $0 \leq a_1 < t \leq 5$  holds. But except for the cases  $(t, a_1) = (1, 0)$  and  $(t, a_1) = (2, 0)$ , a strongly regular graph does not exist, as the multiplicity of the second largest eigenvalue is not an integer. For  $(t, a_1) = (1, 0)$  and  $(t, a_1) = (2, 0)$ , we obtain the pentagon and the Petersen graph, respectively.

(2): As  $1 + k + b_1 k / c_2 < v \leq 7k$ , it follows that  $b_1 < 6c_2$ . If  $c_2 = 1$ , then by (1),  $\Gamma$  is either the pentagon or the Petersen graph. So, we may assume that  $c_2 > 1$ . Note that  $k \geq 2(a_1 + 1) - (c_2 - 1)$  (as  $\Gamma$  is not a complete graph), which implies that  $13c_2 > c_2 + 2b_1 \geq k + 1$ , and hence  $k < 13c_2 - 1 < 50(c_2 - 1)$ , as  $c_2 \geq 2$ . So, there are no such strongly regular Terwilliger graph with  $c_2 > 1$  by [6, Corollary 1.16.6].

(3): Let  $x$  be a vertex of  $\Gamma$ . Then the local graph  $\Delta(x)$  at  $x$  is an  $s$ -clique extension of a strongly regular Terwilliger graph  $\Sigma$  with parameters  $\bar{v} = k/s$ ,  $\bar{k} = (a_1 - s + 1)/s$ , and  $\bar{c}_2 = (c_2 - 1)/s$  by [6, Theorem 1.16.3]. As  $\bar{c}_2 \geq 1$  ( $c_2 \geq 2$ ), we have  $c_2 - 1 \geq s$ . If  $\Sigma$  is the pentagon or the Petersen graph, then  $\Delta(x) = \Sigma$  and  $s = 1$ , and hence by [6, Theorem 1.16.5], we are done in this case. So we may assume that  $\bar{v} > 7\bar{k}$  (by (2)). As  $k \leq (6 + \frac{8}{57})(a_1 + 1)$ , we obtain  $s > \frac{7}{57}(a_1 + 1) \geq \frac{1}{50}k$ . Now, as  $c_2 - 1 \geq s$ , it follows  $k < 50(c_2 - 1)$ , and hence we are done by [6, Corollary 1.16.6].  $\square$

**Remark 7.** There exist generalized quadrangles of order  $(q, q)$  for any prime power  $q$  (see, for example, [10, p. 83]). Note that the flag graph of any generalized quadrangle of order  $(q, q)$  is a distance-regular graph with  $k = 2q$  and  $c_2 = 1$ . This shows that there are infinitely many distance-regular graphs with  $a_1 > \frac{1}{7}k$ . See also, Theorem 16 below.

Before we classify the distance-regular graphs with  $a_1 \geq \frac{1}{2}k - 1$ , we first introduce some results for this classification.

**Lemma 8.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and valency  $k$ . If  $a_1 \geq \frac{1}{2}k - 1$  and  $c_2 \geq 2$ , then  $b_2 < c_2$ , and hence  $D = 3$ .

**Proof.** If  $\Gamma$  is a Terwilliger graph, then  $\Gamma$  is the icosahedron by Proposition 6(3). If  $\Gamma$  is not a Terwilliger graph, then  $\Gamma$  has a quadrangle. Then by [6, Theorem 5.2.1],  $c_2 - b_2 \geq c_1 - b_1 + a_1 + 2 \geq 2$  holds, and hence  $D = 3$  by Lemma 1(3).  $\square$

### 3.1. Some results on eigenvalues

In the next three lemmas, we give some results on the eigenvalues of a distance-regular graph.

**Lemma 9.** Let  $\Gamma$  be a distance-regular graph with diameter three and distinct eigenvalues  $k = \theta_0 > \theta_1 > \theta_2 > \theta_3$ . If  $a_3 = 0$ , then  $\theta_1 > 0 > -1 \geq \theta_2 \geq -b_2 \geq \theta_3$ .

**Proof.** As  $a_3 = 0$ , we know that  $\theta_1$ ,  $\theta_2$  and  $\theta_3$  are the eigenvalues of

$$T := \begin{bmatrix} -1 & b_1 & 0 \\ 1 & k - b_1 - c_2 & b_2 \\ 0 & c_2 & -b_2 \end{bmatrix}$$

by [6, p. 130]. Since the principal submatrix  $\begin{bmatrix} -1 & 0 \\ 0 & -b_2 \end{bmatrix}$  of  $T$  has eigenvalues  $-1$  and  $-b_2$ , it follows that the inequality  $\theta_1 \geq -1 \geq \theta_2 \geq -b_2 \geq \theta_3$  holds by Theorem 2. As  $\Gamma$  has an induced path  $P$  of length three,  $\theta_1 \geq$  second largest eigenvalue of  $P$ , which is greater than zero.  $\square$

**Lemma 10.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and distinct eigenvalues  $k = \theta_0 > \theta_1 > \dots > \theta_D$ . If  $\Gamma$  has an eigenvalue  $\theta$  with multiplicity smaller than  $\frac{1}{2}k$  then the following holds:

- (1)  $\theta \in \{\theta_1, \theta_D\}$ ,
- (2)  $\theta$  is integral,
- (3)  $\theta + 1$  divides  $b_1$ .

**Proof.** This lemma follows immediately from [6, Theorem 4.4.4].  $\square$

**Lemma 11.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and distinct eigenvalues  $k = \theta_0 > \theta_1 > \dots > \theta_D$ . If  $\Gamma$  has an eigenvalue  $\theta$  with multiplicity at most  $k - 2$  then the following holds:

- (1)  $\theta_2 \geq -1 - b_1/(\theta + 1)$  if  $\theta = \theta_1$ ,
- (2)  $\theta_{D-1} \leq -1 - b_1/(\theta + 1)$  if  $\theta = \theta_D$ .

**Proof.** Let  $x$  be a vertex of  $\Gamma$ . Then the local graph  $\Delta(x)$  has smallest eigenvalue at least  $-1 - b_1/(\theta_1 + 1)$  and second largest eigenvalue at most  $-1 - b_1/(\theta_D + 1)$ , by [6, Theorem 4.4.3]. As  $\Delta(x)$  has  $k$  eigenvalues at least  $-1 - b_1/(\theta_1 + 1)$  and  $k - 1$  eigenvalues at most  $-1 - b_1/(\theta_D + 1)$ , by Theorem 2, the inequalities follow.  $\square$

Lemma 11 gives evidence for the following conjecture.

**Conjecture 12.** Let  $\Gamma$  be a distance-regular graph with diameter three and distinct eigenvalues  $k = \theta_0 > \theta_1 > \theta_2 > \theta_3$ . Then

$$-1 - \frac{b_1}{\theta_3 + 1} \geq \theta_2 \geq -1 - \frac{b_1}{\theta_1 + 1}.$$

**Remark 13.** Conjecture 12 is true when  $\Gamma$  is bipartite, as then  $b_1 = k - 1$ ,  $\theta_1 = -\theta_2 = \sqrt{b_2}$  and  $\theta_3 = -k$ . Hence  $0 = -1 - b_1/(\theta_3 + 1) > \theta_2 = -\sqrt{b_2} > -1 - b_1/(\theta_1 + 1)$ , where the last inequality holds, as  $k > b_2$ . Conjecture 12 is also true when  $\Gamma$  is antipodal, as then  $\theta_2 = -1$ . We also checked that all the feasible intersection arrays in the table of primitive distance-regular graphs with diameter three [6, pp. 425–431], satisfy this conjecture.

**Remark 14.** For a distance-regular graph with diameter  $D \geq 4$ , we have  $\theta_2 \geq 0$  by Theorem 2.

**Remark 15.** Fiol and Garriga [9] obtained some properties of the spectrum of a connected graph with four distinct eigenvalues diameter three, under which the distance-regular graphs with diameter three fall.

### 3.2. Classification of distance-regular graphs with $a_1 \geq \frac{1}{2}k - 1$

Now we are ready to classify the distance-regular graphs with  $a_1 \geq \frac{1}{2}k - 1$ .

**Theorem 16.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and valency  $k$ . If  $a_1 \geq \frac{1}{2}k - 1$ , then one of the following holds:

- (1)  $\Gamma$  is a polygon,
- (2)  $\Gamma$  is the line graph of a Moore graph,
- (3)  $\Gamma$  is the flag graph of a regular generalized  $D$ -gon of order  $(s, s)$  for some  $s$ ,
- (4)  $\Gamma$  is a Taylor graph,
- (5)  $\Gamma$  is the Johnson graph  $J(7, 3)$ ,
- (6)  $\Gamma$  is the halved 7-cube.

**Proof.** If  $\Gamma$  does not contain a  $K_{1,3}$  as an induced subgraph of  $\Gamma$ , then one of (1), (2), (3) or (4) holds by [4, Theorem 1.2]. So, we may assume that  $\Gamma$  contains a  $K_{1,3}$ . Since  $\Gamma$  contains a  $K_{1,3}$ , we find  $3(a_1 + 1) - 3(c_2 - 1) \leq k$ , and hence  $c_2 \geq \frac{1}{6}k + 1$ . So,  $c_2 \geq 2$  and it follows that  $D = 3$  by Lemma 8. We will consider two cases, namely the case  $a_3 = 0$  and the case  $a_3 \neq 0$ .

Case 1): First let us assume  $a_3 = 0$ . Then  $c_3 = k$  and it follows  $k_3 = kb_1b_2/c_2c_3 = b_1b_2/c_2$ . Let  $x$  be a vertex of  $\Gamma$  and  $y$  be a vertex of  $I_3(x)$ . Then  $I_3(x)$  contains  $k(b_2 - 1)/c_2$  vertices which are at distance two from  $y$ , as  $a_3 = 0$ . Hence  $b_1b_2 > k(b_2 - 1)$  and this implies  $b_2 = 1$ , as  $b_1 \leq \frac{1}{2}k$ . Thus,  $k_3 \in \{1, 2\}$ , as  $b_1 \leq \frac{1}{2}k$  and  $c_2 > \frac{1}{6}k$ .

- (1) If  $k_3 = 1$ , then  $\Gamma$  is a Taylor graph.
- (2) If  $k_3 = 2$ , then  $b_1 = 2c_2$ , and hence  $v = 3k + 3$ , as  $k_2 = 2k$ . Since  $b_1 \leq \frac{1}{2}k$ , we have  $c_2 \leq \frac{1}{4}k$ , which implies  $a_2 \geq \frac{3}{4}k - 1$ , as  $b_2 = 1$ . Let  $k > \theta_1 > \theta_2 > \theta_3$  be the distinct eigenvalues of  $\Gamma$ . Then  $k + \theta_1 + \theta_2 + \theta_3 = a_1 + a_2 + a_3 \geq (\frac{1}{2}k - 1) + (\frac{3}{4}k - 1)$  implies  $\theta_1 + \theta_2 + \theta_3 \geq \frac{1}{4}k - 2$ . As  $a_3 = 0$  and  $b_2 = 1$ , we have  $\theta_2 = -1 > \theta_3$  by Lemma 9, and hence  $\theta_1 > \frac{1}{4}k$ .

If the multiplicity  $m_1$  of  $\theta_1$  is smaller than  $\frac{1}{2}k$ , then by Lemma 10,  $b_1/(\theta_1 + 1)$  is an integer and hence  $\theta_1 = b_1 - 1$ , as  $b_1 \leq \frac{1}{2}k$  and  $\theta_1 > \frac{1}{4}k$ . Then there is no such a graph by [6, Theorem 4.4.11]. If  $m_1 \geq \frac{1}{2}k$ , then  $4k^2 \geq (3k + 3)k = vk = k^2 + m_1\theta_1^2 + m_2\theta_2^2 + m_3\theta_3^2 > k^2 + \frac{1}{2}k(\frac{1}{4}k)^2$ , and hence  $k < 96$ .

We checked by computer the feasible intersection arrays of antipodal 3-covers with diameter three, satisfying  $k < 96$ ,  $a_1 \geq \frac{1}{2}k - 1$  and  $c_2 > \frac{1}{6}k$ , and no intersection arrays were feasible.

Case 2): Now we assume  $a_3 \neq 0$ . We first will show that in this case  $k \leq 945$  holds. If  $\theta_1 \geq \frac{1}{4}k$  holds, then similarly as in (2) of Case 1), we can show that  $k < 96$  or  $\theta_1 = b_1 - 1$ . If  $\theta_1 = b_1 - 1 \geq \frac{1}{4}k$  holds, then  $\Gamma$  is either the Johnson graph  $J(7, 3)$  or the halved 7-cube by [6, Theorem 4.4.11]. So, we find that if  $\theta_1 \geq \frac{1}{4}k$  holds, then we have  $k < 96$ . So we may assume that  $\theta_1 < \frac{1}{4}k$ . As  $\theta_1 \geq \min\{\frac{1}{2}(a_1 + \sqrt{a_1^2 + 4k}), a_3\}$  [12, Lemma 6] and  $\frac{1}{2}(a_1 + \sqrt{a_1^2 + 4k}) > \frac{1}{4}k$ , we have  $a_3 < \frac{1}{4}k$ , and hence  $c_3 > \frac{3}{4}k$ . As  $a_3 \neq 0$ ,  $\Gamma$  is not a Taylor graph. Then by Proposition 5, we find  $\frac{1}{2}(k/c_2) \cdot k \geq (b_1/c_2) \cdot k = k_2 \geq 2c_3 > \frac{3}{2}k$ , which implies  $c_2 < \frac{1}{3}k$ . Let  $\eta_1 = \max\{-1, a_3 - b_2\}$  and  $\eta_2 = \min\{-1, a_3 - b_2\}$ . Then  $\theta_1 \geq \eta_1 \geq \theta_2 \geq \eta_2 \geq \theta_3$  by [13, Proposition 3.2]. Now we will show that  $\theta_1 \geq \frac{k}{2} - c_2$ .

If  $\theta_2 \geq 0$ , then  $\eta_1 = a_3 - b_2$  and  $\eta_2 = -1$ , and hence  $a_3 \geq b_2 + \theta_2$  and  $\theta_3 \leq -1$ . We find  $\theta_1 + \theta_2 + \theta_3 = a_1 + a_2 + a_3 - k \geq -\frac{1}{2}k - 1 + a_2 + b_2 + \theta_2$  and this implies  $\theta_1 \geq a_2 + b_2 - \frac{1}{2}k = \frac{1}{2}k - c_2$ .

If  $\theta_2 < 0$ , then  $\theta_3 \leq a_3 - b_2$  implies  $a_3 \geq b_2 + \theta_3$ . We find  $\theta_1 + \theta_2 + \theta_3 = a_1 + a_2 + a_3 - k \geq -\frac{1}{2}k - 1 + a_2 + b_2 + \theta_3$  and this implies  $\theta_1 \geq a_2 + b_2 - \frac{1}{2}k = \frac{1}{2}k - c_2$  as  $\theta_2 \leq -1$  or  $a_3 - b_2 \geq \theta_2 \geq -1 \geq \theta_3$ . So, we have shown  $\theta_1 \geq \frac{1}{2}k - c_2$  and this implies  $\theta_1 > \frac{1}{6}k$  and  $c_2 > \frac{1}{4}k$ , as  $c_2 < \frac{1}{3}k$  and  $\theta_1 < \frac{1}{4}k$  respectively.

If the multiplicity  $m_1$  of  $\theta_1$  is smaller than  $\frac{1}{2}k$ , then by Lemma 10,  $b_1/(\theta_1 + 1)$  is an integer and hence  $b_1/(\theta_1 + 1) \in \{1, 2\}$ , as  $b_1 \leq \frac{1}{2}k$  and  $\theta_1 > \frac{1}{6}k$ .

If  $b_1/(\theta_1 + 1) = 1$ , then there is no such a graph by [6, Theorem 4.4.11].

If  $b_1/(\theta_1 + 1) = 2$ , then  $u_2(\theta_1) = ((\theta_1 - a_1)u_1(\theta_1) - 1)/b_1 = (\frac{3}{4}b_1 - \frac{1}{2}k - \frac{3}{2})/k < -\frac{1}{8}$ , as  $\theta_1 - a_1 = \frac{1}{2}b_1 - 1 - a_1 = \frac{3}{2}b_1 - k$  and  $u_1(\theta_1) = \theta_1/k = (\frac{1}{2}b_1 - 1)/k$ . As  $\theta_1 = a_3$  implies  $u_2(\theta_1) = 0$ , we as-

sume  $\theta_1 \neq a_3$ . Then  $c_3 u_2(\theta_1) + a_3 u_3(\theta_1) = \theta_1 u_3(\theta_1)$  follows that  $u_3(\theta_1) = (c_3/(\theta_1 - a_3)) \cdot u_2(\theta_1)$ . As  $u_3(\theta_1) \geq -1$ , we find  $\theta_1 - a_3 > \frac{3}{32}k$  and hence  $a_3 < \frac{5}{32}k$ . As  $\frac{1}{2}b_1 - 1 = \theta_1 \geq \frac{1}{2}k - c_2$  and  $k_2 \geq 2c_3$ , we find that  $\theta_1 \leq \frac{9}{40}k$  implies  $c_3 \leq \frac{37}{44}k$ , unless  $k \leq 160$ . This shows that  $k \leq 160$  or  $\theta_1 > \frac{9}{40}k$ . So, we may assume  $\theta_1 > \frac{9}{40}k$  and  $a_3 < \frac{5}{32}k$ . As  $a_1 \geq \frac{1}{2}k - 1$  and  $c_2 \geq 2$ , we have  $b_2 < c_2$  and this shows  $k_3 = kb_1 b_2 / c_2 c_3 < kb_1 / c_3 < k(k/2) / (27k/32) = \frac{16}{27}k$ . Then by [6, Theorem 4.1.4], we find

$$m_1 = \frac{v}{\sum_{i=0}^3 u_i(\theta_1)^2 k_i} < \frac{k + k_2 + 16k/27}{(9/40)^2 k + (-1/8)^2 k_2} = \frac{43k/27 + k_2}{81k/1600 + k_2/64}.$$

As  $\frac{1}{3}k \leq b_1 \leq \frac{1}{2}k$  and  $\frac{1}{4}k < c_2 < \frac{1}{3}k$ , we have  $k \leq k_2 < 2k$  and  $(43k/27 + k_2)/(81k/1600 + k_2/64)$  has maximum value smaller than 43.88 when  $k_2 = 2k$ . So,  $m_1 \leq 43$ . Thus, we have  $k \leq \frac{1}{2}(43+2)(43-1) = 945$  by [6, Theorem 5.3.2].

If  $m_1 \geq \frac{1}{2}k$ , then similarly as in (2) of Case 1) we obtain  $k < 312$ .

We checked by computer the feasible intersection arrays of distance-regular graphs with diameter three satisfying  $k \leq 945$ ,  $a_1 \geq \frac{1}{2}k - 1$ ,  $c_2 > \frac{1}{6}k$  and  $a_3 \neq 0$ , and only the intersection arrays of the Johnson graph  $J(7, 3)$  and the halved 7-cube, were feasible.  $\square$

#### 4. Distance-regular graphs with small $k_2$

In this section we give two results on the distance-regular graphs with small  $k_2$ . In the first result we look at  $k_2 < 2k$ , and in the second result we classify the distance-regular graphs with  $k_2 \leq \frac{3}{2}k$  and diameter at least three.

**Theorem 17.** Let  $\varepsilon > 0$ . Then there exist a real number  $\kappa = \kappa(\varepsilon) \geq 3$  such that if  $\Gamma$  is a distance-regular graph with diameter  $D \geq 3$ , valency  $k \geq \kappa(\varepsilon)$  and  $k_2 \leq (2 - \varepsilon)k$ , then  $D = 3$  and  $\Gamma$  is either bipartite or a Taylor graph.

**Proof.** We may assume  $k \geq 3$ . If  $c_2 = 1$ , then  $b_1 = 1$ , as  $k \leq k_2 = kb_1/c_2 \leq (2 - \varepsilon)k$  and this implies  $a_1 = k - 2$ . As  $c_2 = 1$ , we know that  $a_1 + 1 = k - 1$  divides  $k$ , which gives  $k = 2$ , which contradicts  $k \geq 3$ . So, we may assume  $c_2 \geq 2$ . Suppose  $\Gamma$  either has  $D \geq 4$  or ( $D = 3$  and  $\Gamma$  is not bipartite or a Taylor graph), then by Proposition 5,  $c_2 \leq \frac{1}{2}k$  and  $b_2 \leq \frac{1}{2}k_3$ . As  $c_2 \leq \frac{1}{2}k$  (respectively  $b_2 \leq \frac{1}{2}k_3$ ), we have  $(2 - \varepsilon)k \geq k_2 \geq 2b_1$  (respectively  $(2 - \varepsilon)k \geq k_2 \geq 2c_3$ ), and hence  $a_1 \geq \frac{1}{2}\varepsilon k - 1$  (respectively  $a_3 \geq \frac{1}{2}\varepsilon k$ ). So, by [12, Lemma 6], we have  $\theta_1 \geq \min\{\frac{1}{2}(a_1 + \sqrt{a_1^2 + 4k}), a_3\} \geq \min\{a_1 + 1, a_3\} \geq \frac{1}{2}\varepsilon k$ . This implies  $u_1(\theta_1) = \theta_1/k \geq \frac{1}{2}\varepsilon$ . As  $2k > (2 - \varepsilon)k \geq k_2 = kb_1/c_2$ , we find  $2c_2 > b_1$ . Then, by [2, Lemma 5.2], we obtain  $D \leq 4$ . For  $D = 3$ , it is easy to check  $v \leq 7k$ . If  $D = 4$ , then by [6, Theorem 5.4.1],  $c_3 \geq \frac{3}{2}c_2$  and this implies  $k_3 = k_2 b_2 / c_3 \leq k_2 b_1 / (3c_2/2) < \frac{8}{3}k$  and  $k_4 < \frac{32}{9}k$ , as  $b_1/c_2 < 2$ . So,  $v \leq 10k$ . Then, by [6, Theorem 4.1.4], the multiplicity  $m_1$  of  $\theta_1$  is smaller than  $v/(u_1(\theta_1)^2 k) < 40/\varepsilon^2$ . So,  $k < \frac{1}{2}(40/\varepsilon^2 - 1)(40/\varepsilon^2 + 2)$  (by [6, Theorem 5.3.2]). Thus, if we take  $\kappa(\varepsilon) = \frac{1}{2}(40/\varepsilon^2 - 1)(40/\varepsilon^2 + 2)$ , then  $D = 3$  and  $\Gamma$  is either bipartite or a Taylor graph.  $\square$

**Remark 18.** The Hadamard graphs have intersection array  $\{k, k-1, \frac{1}{2}k, 1; 1, \frac{1}{2}k, k-1, k\}$  and have  $k_2 = 2(k-1)$ . For  $k = 2^t$  ( $t = 1, 2, \dots$ ), there exists a Hadamard graph (see, for example, [6, Section 1.8]). This shows that the above theorem is quite sharp.

**Question 19.** For fixed positive constant  $C$ , are there only finitely many primitive distance-regular graphs with diameter at least three, valency  $k \geq 3$  and  $k_2 < Ck$ ?

In the next theorem, we classify the distance-regular graphs with  $k_2 \leq \frac{3}{2}k$  and diameter at least three.

**Theorem 20.** Let  $\Gamma$  be a distance-regular graph with diameter  $D \geq 3$  and valency  $k$ . If  $k_2 \leq \frac{3}{2}k$ , then one of the following holds:



- (1)  $k = 2$  and  $\Gamma$  is a polygon,
- (2)  $D = 3$  and  $\Gamma$  is bipartite,
- (3)  $D = 3$  and  $\Gamma$  is a Taylor graph,
- (4)  $\Gamma$  is the Johnson graph  $J(7, 3)$ ,
- (5)  $\Gamma$  is the 4-cube.

**Proof.** If  $c_2 = 1$ , then  $b_1 = 1$ , as  $k \leq k_2 = kb_1/c_2 \leq \frac{3}{2}k$  and this implies  $a_1 = k - 2$ . As  $c_2 = 1$ , it follows that  $a_1 + 1 = k - 1$  divides  $k$ , which gives  $k = 2$  and  $\Gamma$  is a polygon. So, we may assume  $\frac{1}{2}k \geq c_2 \geq 2$ , as  $c_2 > \frac{1}{2}k$  implies that  $D = 3$  and  $\Gamma$  is either bipartite or a Taylor graph (by Proposition 5). As the distance-regular line graphs with  $c_2 \geq 2$  have  $D = 2$  (see [6, Theorem 4.2.16]),  $c_2 \geq 2$  implies that if  $a_1 \geq \frac{1}{2}k - 1$ , then the graph  $\Gamma$  is either a Taylor graph, the Johnson graph  $J(7, 3)$  or the halved 7-cube by Theorem 16, but the halved 7-cube has  $k = 12$  and  $k_2 = 35$ .

Hence, we may assume  $\frac{1}{2}k \geq c_2 \geq 2$  and  $a_1 < \frac{1}{2}k - 1$ . This implies  $b_1 > \frac{1}{2}k$ , and hence  $c_2 \geq \frac{2}{3}b_1 > \frac{1}{3}k$ , as  $k_2 \leq \frac{3}{2}k$ . If  $a_1 = 0$ , then  $\frac{1}{2}k \geq c_2 \geq \frac{2}{3}(k - 1)$ , which implies  $k \leq 4$  and it is easy to check that the theorem holds in this case by [3,7]. So, we may assume  $a_1 > 0$  and this implies  $k \geq 5$ , as  $a_1 < \frac{1}{2}k - 1$ . As  $a_1 > 0$ , we find  $a_2 \geq \min\{b_2, c_2\}$ , by [6, Proposition 5.5.6], which in turn implies  $b_2 < \frac{1}{3}k < c_2$ , and hence  $D = 3$ .

So, from now on, we assume that the diameter  $D$  is three,  $a_1$  is positive and the valency  $k$  is at least five. Here note that  $v \leq \frac{7}{2}k$ , as  $k_3 \leq k_2b_2/c_2 < \frac{3}{2}k(k/6)/(k/3) = \frac{3}{4}k$  when  $b_2 \leq \frac{1}{6}k$ , and  $b_2 > \frac{1}{6}k$  implies  $c_3 > \frac{1}{2}k$  by [6, Theorem 5.4.1], and hence  $k_3 \leq \frac{3}{2}k(k/3)/(k/2) = k$ . As  $k_2 \geq 2b_1$  and  $k_2 \geq 2c_3$  (Proposition 5), we find  $a_1 \geq \frac{1}{4}k - 1$  and  $a_3 \geq \frac{1}{4}k$  respectively. By [12, Lemma 6], we find  $\theta_1 \geq \min\{\frac{1}{2}(a_1 + \sqrt{a_1^2 + 4k}), a_3\} \geq \min\{a_1 + 1, a_3\} \geq \frac{1}{4}k$ .

If  $m_1 \geq \frac{1}{2}k$ , then  $\frac{7}{2}k^2 \geq vk = k^2 + m_1\theta_1^2 + m_2\theta_2^2 + m_3\theta_3^2 \geq k^2 + \frac{1}{2}k(\frac{1}{4}k)^2$  implies  $k \leq 80$ . We checked by computer the feasible intersection arrays of distance-regular graphs with diameter three satisfying  $k \leq 80$  and  $k_2 \leq \frac{3}{2}k$ , and no intersection arrays were feasible.

If  $m_1 < \frac{1}{2}k$ , then by Lemma 10,  $b_1/(\theta_1 + 1) \in \{1, 2\}$ , as  $\theta_1 \geq \frac{1}{4}k$  and  $b_1 \leq \frac{3}{4}k$ . If  $b_1/(\theta_1 + 1) = 1$ , then there is no such a distance-regular graph by [6, Theorem 4.4.11].

For  $b_1/(\theta_1 + 1) = 2$ , we first show that one of  $m_1 < 48$  and  $k \leq 510$  holds. If  $m_1 \geq 48$  and  $k > 510$ , then by [6, Theorem 4.1.4],  $48 \leq m_1 = v/(\sum_{i=0}^3 u_i(\theta_1)^2 k_i) < (7k/2)/((\theta_1/k)^2 k)$ , as  $u_1(\theta_1) = \theta_1/k$  and  $v \leq \frac{7}{2}k$ . This implies  $(\theta_1/k)^2 < \frac{7}{96}$  and hence  $\theta_1 < (0.271)k$ . As  $\frac{1}{2}b_1 - 1 = \theta_1 < (0.271)k$ , we have  $b_1 < (0.542)k + 2$ , which implies  $a_1 > (0.458)k - 3$ , and hence  $a_1 + 1 > (0.458)k - 3 > (0.271)k > \theta_1$ , as  $k > 510$ . This in turn implies  $\theta_1 \geq a_3$ , as  $\theta_1 \geq \min\{a_1 + 1, a_3\}$ . Note that if  $k_3 < \frac{1}{2}k$ , then  $v \leq 3k$ , as  $k_2 \leq \frac{3}{2}k$ . As  $\theta_1 \geq \frac{1}{4}k$ , we find  $m_1 = v/(\sum_{i=0}^3 u_i(\theta_1)^2 k_i) < 3k/(k/16) = 48$ , and this contradicts  $m_1 \geq 48$ . So,  $k_3 \geq \frac{1}{2}k$  and this implies  $b_2 \geq \frac{1}{3}c_3$ , as  $k_3 = k_2b_2/c_3$  and  $k_2 \leq \frac{3}{2}k$ . Then, as  $a_3 \leq \theta_1 < (0.271)k$ , we find  $c_3 > (0.729)k$ , and hence  $b_2 > (0.243)k$ . Since  $a_2 = k - b_2 - c_2$  and  $c_2 > \frac{1}{3}k > (0.333)k$ , we find  $a_2 < (0.424)k$  and this implies  $(0.924)k - 1 > a_1 + a_2 \geq k + \theta_2 + \theta_3 \geq k - 3 + \theta_3$ , as  $\theta_1 \geq a_3$ , and by Lemma 11, we have  $\theta_2 \geq -3$ . So, we obtain  $-(0.076)k + 2 \geq \theta_3$ . As  $k > 510$ , we have  $-(0.07)k > -(0.076)k + 2 \geq \theta_3$ . Here note  $m_1 + m_3 \geq k$  by [6, Theorem 4.4.4]. Now  $\frac{7}{2}k \geq vk \geq k^2 + m_1\theta_1^2 + m_3\theta_3^2$ ,  $\theta_1 \geq \frac{1}{4}k$  and  $m_1 + m_3 \geq k$  imply  $k \leq 510$ . This is a contradiction. So, we find that either  $m_1 < 48$  or  $k \leq 510$  holds. If  $m_1 < 48$ , then [6, Theorem 5.3.2] implies  $k \leq 1127$ . In conclusion, we find  $k \leq 1127$ .

We checked by computer the feasible intersection arrays of the distance-regular graphs with diameter three satisfying  $k_2 \leq \frac{3}{2}k$ ,  $\theta_1 = \frac{1}{2}b_1 - 1$ ,  $m_1 < \frac{1}{2}k$  and  $k \leq 1127$ , and no intersection arrays were feasible.  $\square$

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